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AUTHOR St. John, Edward P.

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ABSTRACT

This case study of Xavier University is part of a study of selected developing colleges and universities funded in the Advanced Program of Title III of the Higher Education Act. Xavier's unique role as the only historically Black Catholic college in the U.S. is noted and its recent financial crisis and resulting need for a sounder management system are examined. Its current state-of-development is reviewed. The historical development of the institution is reported along with its administrative structure and management system. Also discussed is Xavier's management effectiveness, including the attention paid to management needs, implementation of a viable management system, effectiveness of resource use and planning, quality and effectiveness of constituent involvement, and renewal capacity. It is concluded that Xavier has made difficult transitions accompanied by changes in structure and management and can serve as a model for similar black institutions. (LBH)

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CASE STUDY III

Xavier University of Louisiana
New Orleans, Louisiana

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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A Study of Selected Developing Colleges and Universities

prepared by
Edward P. St. John
Harvard University
Graduate School of Education

for the
United States Office of Education
Office of Planning, Budgeting and Evaluation
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This study of selected developing colleges and universities was undertaken for the United States Office of Education, Office of Planning, Budgeting, and Evaluation under contract number ~~[illegible]~~2. The study was conducted by Edward P. St. John, a researcher at Harvard University Graduate School of Education, in close collaboration with George B. Weathersby, who served as principal investigator. The purpose of the study was to refine an institutional development model that has direct implications for Title III of the Higher Education Act of 1965.

Reports prepared under this contract are listed below and copies can be obtained from the USOE-OPBE (Room 4087, 400 Maryland Avenue, S.W., Washington, D.C. 20202) or from George B. Weathersby (c/o Indiana Commission of Higher Education, 143 West Market Street, Indianapolis, Indiana 46204). Special thanks is extended to our typists, Mary Sanderson, Connie Tuton, and Careyleah MacLeod.

Final Report

"Structure, Management, and Intervention"

Case Studies

I. "Doane College, Crete, Nebraska"

II. "St. Mary's Junior College, Minneapolis, Minnesota"

III. "Xavier University of Louisiana, New Orleans, Louisiana"

IV. "North Carolina Agricultural and Technical State University, Greensboro, North Carolina"

V. "Valencia Community College, Orlando, Florida"

The attached case study is a portion of a study of selected developing colleges and universities funded in the Advanced Program of Title III of the Higher Education Act. The insitution has reviewed the contents to insure factual accuracy. Each case study has a common format:

I. Introduction

II. State-of-Development (of institutional sub-systems: environment; mission; structure; groups/individuals; and technologies)

III. Structural History (the historical development of the institution)

IV. Administrative Structure (the formal organization of the institution)

V. Management System (the management practices inplemented on campus)

VI. Management Effectiveness (attention paid to management needs, implementation of viable management system; effectiveness of resource use and planning; quality and effectiveness of constituent involvement; and renewal capacity)

VII. Conclusions

Attachment III

Xavier University of Louisiana
New Orleans, Louisiana

Founded in 1915 as a high school, Xavier University of Louisiana is the only historically Black Catholic college in the United States. Over the decades, many things have changed at Xavier--curriculum, location, enrollments, leadership--but its character and purpose have remained the same. It has played a unique role in the New Orleans area by educating Blacks and by training Black educators. During the past decade, the conditions facing Xavier have changed, as they have for the rest of Black higher education. As a result, Xavier has faced some difficult times: financial crisis, racial tension, and conflict over the mission and future of the college. The financial crisis and the resulting need for a sounder management system may have been the most critical test--a test the college appears to have weathered.

In 1974 Xavier received a five-year AIDP grant for $2 million to undertake the following activities:

1. Freshmen Studies
2-A Curriculum Study
2-B Curriculum Personnel
2-C Faculty Development
2-D Early Childhood
3. Social Science
4. Center for University Studies
5. Student Personnel
6. Transactional Information System
7. Planning, Management, Evaluation

The AIDP grant has helped the college make some needed transitions in its curriculum and management. The attitude toward AIDP at Xavier seems positive; the implementation appears successful, and the college appears better off for having undertaken the development process.

State-of-Development

Today, in spite of a few outward signs to the contrary, Xavier University is a vital institution. It is in better shape financially and in terms of enrollments than at any point in recent history. The outward signs—an older physical plant—are not indicative of the spirit within the institution.

Environment. Louisiana is not distinguished in its support for higher education, public or private. As one of the few states with no mechanisms for supporting private higher education before 1976, Louisiana has enacted legislation awarding $125 per semester per Louisiana student enrolled in a private college. Its total support for public higher education and its expenditures per student are below the national average on most indicators. In spite of a possible surplus in the Ph.D. granting capacity in the state, the federal research dollars going to in-state institutions are well below the national average. The only distinction indicated by the Carnegie Council's recent study (1976) is the moratorium placed on new Ph.D. programs.

New Orleans is a vital, exciting city with several public and private higher-education institutions. Xavier is one of four Catholic colleges in the city--in addition to Loyola University, Dominican College, and Our Lady of Holy Cross—although it is the only one that is historically Black. Xavier University is also attempting to change its relationship with the surrounding community. It is located adjacent to Gert Town, an area with all of the pathologies of slums in most major cities. Once considered two separate worlds, a new relationship has been created, as a recent article in American Education indicates:

> Being a good neighbor is part of the curriculum at Xavier University of Louisiana. The institution's students and staff have been pitching in to provide a host of educational and social programs for their neighbors in Gert Town, a black ghetto in New Orleans' inner city. This 'lend a hand' philosophy and its practice have created a feeling of warmth and goodwill between campus and community, so that Gert Town is now considered--and considers itself--a vital part of the university's future. (Bobowski, 1976, p. 26)

Xavier did not take advantage of many of the federal funding programs to improve its physical plant in the 1960s. In the early 1970s under the leadership of its new president, the college considered starting a $15 million fund-raising campaign for building improvements. The campaign was not initiated, however, because they had more important fund-raising priorities and the external conditions were not supportive of a large fund drive. Xavier's physical plant has been described as follows:

> Xavier's postage-stamp campus of 22 acres is shoe-horned into a narrow strip between a freeway and a drainage canal. The university has built several new buildings in recent years, but the newly-opened Pharmacy Building is the first new academic structure since the sprawling, Gothic main building was completed more than forty years ago. Surprisingly, then, the campus manages somehow to seem neither cramped nor antiquated. All the same, the need for new structures and more space is obvious and pressing, and the prospects are not bright, because of the state of the budget. (Description of the Planning Process)

Mission. Xavier University defines its mission and goals now as it has in the past:

> It is as a Catholic university serving a predominantly Black student body that Xavier has its reason for being. In reaffirming its Black heritage and its Catholic character, the university is guided by its mission to provide each student with a liberal and professional educational experience in a pluralistic environment for the ultimate purpose of helping to create a more just and humane society.

> Xavier, a Catholic university serving a predominantly Black student body, commits itself to the following goals:
>
> To provide the environment most conducive to the development of the human person, so that each student may realize his own fullest potential as an individual;
>
> To provide such academic support as is necessary for each student to achieve maximum success in the realization of his own educational goals;
>
> To provide such opportunities of general, special, and professional education as will make it possible for each student to develop sensitivity to beauty in all its forms, responsibility for the attainment of a more humane and just society, and the abilities and skills needed to make his contribution to that society;
>
> To accept fully its responsibility as a university existing within a larger society, recognizing the priority of claims from or relating to the Black community.
>
> (Long-Range Planning Document, 1973 through 1977)

Although the mission of the university has remained constant, there have been many changes in the way it approaches its mission. As the original AIDP plan puts it:

> Although Xavier's mission has not changed, the conditions under which that mission is carried out have altered considerably. Reassessment of the social and economic factors which have significantly influenced what the university does have led to the conclusion that those functions it performed well in the past, it should perform even better in the future. There has been no rejection of the traditional vow; but there is acknowledgement that the times and the needs of those to be served also demand that new and different functions be assumed, functions Xavier can logically perform better than any other institution.
>
> (Original Plan, p. 7)

Structure. Xavier is a medium-sized university. Compared to other private four-year institutions funded by AIDP in either 1973 or 1974, Xavier is close to the average in total FTE enrollment. It has experienced growth in most of its characteristics in the four years prior to AIDP funding (see Table III-A). Income, expenditures,

Table III-A

Xavier University of Louisiana
Institutional Characteristics

	1970-71	1971-72	1973-74
Income Total	$2,957,864	$4,523,541	$5,585,064
Expenditure Total	$2,609,769	$4,675,201	$6,401,666
Expenditure Education and General Purposes	$1,226,372	$2,976,188	$4,394,284
Full-Time Administrators	*	32	38
FTE Enrollment	1,325	1,335	1,646
FTE Faculty	110	106	120

*Not available in the data base.

Source: Title III Applications and Award Data Base

Note: Full-time Faculty FTE, not available in the data base, was provided by University Planning Office.

and enrollments increased during the period, and continued to increase after AIDP funding. The figures in Table III-A also indicate that Xavier was experiencing financial difficulties during the three years prior to the grant, with total expenditures exceeding total income. Xavier relies on tuition and fees for about one-third of its income, with most of the remainder coming from private sources, student financial aid, the federal government, and endowment. The endowment income is the smallest of these income categories.

As a Catholic university, Xavier has historically had support from its founding Order. During the early decades the Order was able

to provide sizable financial aid, although this source of income has declined markedly since the early 1950s. Since that time the main income support received from the Order was in the form of salaries returned to the institution from Sistors on the faculty and staff. Since during the past decade the college has changed from religious to lay leadership, with seven of the top eight administrators now being lay people, the financial impact of this indirect support has decreased. This was a factor in the income-expenditure deficit in the years prior to AIDP.

Xavier has three schools: Arts and Sciences, Pharmacy, and the Graduate School. Of the three schools, the undergraduate school of Arts and Sciences is the largest, with a majority of the student body. The Pharmacy School is small, although it has experienced some growth in recent years, and the Graduate School is even smaller. Most of the graduate program is in the field of education.

Although the college has passed through two distinct periods of increasing formalization in the administrative structure, the formal organizational structure of the college remains relatively simple. In addition to the president, the university has an executive vice president, university dean, deans for the three colleges, and several director and coordinator level positions. The total administrative staff, thirty-eight in 1973-74, is large enough to necessitate that attention be paid to forming administrative procedures.

Groups, Individuals. Xavier University is an interesting mixture of students, faculty, staff, and administrators. A combination of factors created this diversity: the desegregation of higher

education, the Ph.D. surplus, the Catholic heritage of the college, and the increasing emphasis on management in higher education.

Xavier's students are mostly Black and mostly from the New Orleans area. Between 75% and 85% of the college's student body is from New Orleans. Others are from other parts of Louisiana and other Southern states. Although the student body is overwhelming Black, several White students have attended the campus during the past ten years, especially in the pharmacy and pre-medicine programs, which are both strong. About 10% of the student body is White. The percent from the top quarter of their high-school class is slightly less than the national average for four-year private colleges. The accessibility to formerly White institutions for Blacks has cut into the student market for Xavier as it has for other historically Black institutions. At the same time the gap between the academic training of Black and White high-school students may be lessening. Historically, Xavier's graduates tended to go into education. However, as more opportunities have opened to Blacks, graduates have chosen more diverse career paths.

Faculty are more diverse now than at any point in the history of the university. There has always been both Black and White faculty at Xavier, although the mixture has not always been as diverse as it now is. The college was founded as a high school and soon became the only college run by a small order of Catholic sisters, The Sisters of the Blessed Sacrament. Sisters have always been on the faculty. In addition, there have always been at least a few Blacks on the faculty. Social and political pressures prior to World War II made it difficult for Whites to work for a Black institution. The faculty

has always been at least 50% White however. In recent years the availability of highly-educated faculty has increased dramatically. Xavier has taken advantage of this buyer's market by attracting a diverse and well-educated new faculty to complement the already established mixture of Blacks and Sisters. The proportion and number of Sisters on the faculty have decreased over the past decade as well, since the Sisters of the Blessed Sacrament have been affected by the decrease in the number of young people who have joined religious orders. In fact, the recent conversion of one of a Sisters' housing units to administrative offices is symbolic not only of a transition in the order, but also of a transition in the administration as well.

The administration of Xavier has changed more in the past decade than either the student body or the faculty. The administration of Xavier, until a decade ago, was run almost entirely by the Sisters. There had been three presidents prior to the current one, all were Sisters. Norman Francis, the current President and a lay person, has seen the college through a transition in its organization and administration. Today there is a small cadre of professional administrators on campus; several, including the President, are alumni. They are trying to maintain the school's atmosphere, values, and commitment to its religious heritage, while making the transition to an organization run on sounder management principles. In addition to changes in the administration, the Board of Trustees has undergone a significant transition during the past decade as well. Today the Board is comprised of a mixture of businessmen and a few Sisters. Formerly, the Board was run by the Sisters of the Blessed Sacrament.

Xavier University is committed to maintaining an open governance system that involves faculty, students, administrators, and trustees. In 1968, when Norman Francis took over the presidency, a governance study was commissioned, which has resulted in numerous changes in the institution's administrative structure and management system.

Technologies. Xavier is a traditional liberal-arts institution with respect to its instructional technologies. Most of the instruction is in the liberal arts and most take place in the classroom setting. The college has not experimented heavily in nontraditional approaches, like experiential learning, continuing or recurrent education, and media-centered instruction. The quality of the educational experience does seem important to the Xavier community, however. Under the AIDP grant, Xavier has initiated new programs, like the Freshmen Studies Program and the Curriculum Study, that are having an impact on the quality of the academic programs.

One aspect of Xavier's approach to program development is particularly interesting and worth noting. Xavier has been experimenting with joint degree programs with other institutions in the New Orleans area. It has already developed a five-year B.A.-M.B.A. program jointly with Tulane University and is now experimenting with its consortium arrangements with Loyola University and Dominican College. None of the schools—Xavier, Loyola, or Dominican--has the capacity to offer a complete language program. Currently, they are trying to launch a joint language program that builds on each institution's strengths. In some areas, particularly the sciences, Xavier is very strong. Through cooperative arrangements the college may be able to take

advantage of the facilities at colleges experiencing enrollment problems. A concern throughout this development effort, however, is that Xavier keep its own identity in areas of strength.

Structural History

Members of the Xavier University community have always seen Xavier as a distinctive institution. The opening description of the college in the document, A Description of the Planning Process at Xavier University of Louisiana, communicates this image:

> Of the approximately 100 existing American institutions of higher education which were created to serve Negroes, Xavier University in New Orleans is the only one affiliated with the Catholic Church. It was opened in 1925 by the Sisters of the Blessed Sacrament, a Catholic order of nuns founded by Mother M. Katherine Drexel and dedicated to the education of American minorities.
>
> For the first 35 years of its existence, Xavier's claim to distinction was based on several features. It was, first of all, a Negro Catholic college. It was also something of an athletic powerhouse, and it had a pharmacy college, and a teacher education department which supplied a majority of the Negro teachers and administrators in the schools in New Orleans. Xavier's students were all black, and a majority of them were young women; many of its teachers, and virtually all of its administrators, were white women, members of the religious order of SBS.

A comparison of this statement with the description of the current state of development of the college shows that much has changed at Xavier during the past decades. However, a closer examination of college history reveals that much had changed at Xavier prior to trans ormation of the past two decades, and that significant changes in the structure and management of the institution are still occurring. The following pages present a brief structural history of the college based on interviews and a study of available documents.

Although Xavier University started as a college in 1925, its history as an educational institution started a decade earlier: "On September 27, 1915, Xavier University opened its doors to welcome youth interested in higher education, offering a curriculum on the secondary level, together with the seventh and eighth grades, but planned with a view to expanding into college and university level offerings" ("Gleanings: A Brief Historical Sketch," 1966, p. 1). The roots of the school go back even further, to the founding of the Sisters of the Blessed Sacrament by Reverend Mother Mary Katherine Drexel in 1891. These early beginnings are important, not only because of the unique Catholic character of the college, but also because the religious Order provided a basis of organizational and financial support for the college during the early decades.

Louisiana was a difficult environment for Blacks in the early 1900s; it was difficult for them to advance socially, economically, or educationally. The public licensing procedures for education made it difficult for Black institutions to be established and it was virtually impossible for Southern Blacks to attend local White institutions. Xavier was founded on the campus of "Old Southern" University which had moved from New Orleans. After the site was purchased by Mother Mary Katherine, the college was incorporated: "In May, 1916, Xavier was incorporated under the title, 'Sisters of the Blessed Sacrament for Indians and Colored People of Louisiana,' according to the laws of the state, and the name 'Xavier' University, was cut into the stone slab above the main entrance thus replacing the name, 'Southern' University" ("Gleanings," p. 2). This early relationship

with the religious order was important; the degree granting authority was given to the Sisters, not the institution, and receipt of this authority would have been much more difficult to get without the Sisters. Under the direction of the Sisters, the college experienced early success:

> The student body increased rapidly and by the fall of 1917 a Normal School was in full operation to prepare students for the teaching profession. This area expanded into a full four-year teacher college to prepare students for the teaching profession. This area expanded also into full collegiate offerings for at the same time a College of Liberal Arts was formally opened so as to accommodate students desirous of equipping themselves for leadership in the scientific and literary fields or careers, or who wished to prepare for admission into graduate and/or professional schools such as dentistry, law or medicine. The College of Pharmacy was opened in the fall of 1927.
>
> ("Gleanings," p. 2)

In addition to providing the organizational support for the college, the Sisters of the Blessed Sacrament provided the college with much-needed financial support during the early decades. Expectedly, the students who attended Xavier were poor and could not afford to pay tuition. Reverend Mother Mary Katherine, the foundress of the Order and of Xavier, was a wealthy heiress. She had received her fortune prior to taking her vows and although the will prevented her passing her fortune on to the Order after her death, she was able to use the fortune to support many of the activities of the Order while she was alive. After her death, the university faced considerable changes in its funding sources. As the 1966 document, "Gleanings: A Historical Sketch," puts it:

> Since the death of Reverend Mother M. Katherine (1955), in addition to the income from tuition and fees--an appreciable amoung, nevertheless insufficient--Xavier University's

> two major sources of financial support are the United Negro College Fund grants and an annual grant from the American Board of Catholic Missions. These major sources of financial support must be increased in number to enable the University to continue serving the youth of the nation. About two-thirds of the faculty at Xavier are lay persons; this alone requires a tremendous output of money annually in salaries. Xavier University enjoys a small endowment; but its greatest endowment is the contributed services of the Sisters, which services, estimated at the rate of a 4% income, represent a living endowment approximated at four million dollars or more. (p. 7)

The 1950s brought a lot of change to the formal organization and administration of the university. Prior to the 1950s there had been few significant changes: they had moved to a new campus in 1932; and in the 1940s the fiscal office was formalized. However, at the time, according to Sister Florence, a campus historian, "the areas were governed but they didn't have the structure they do now." By the mid-fifties a lot began to change. In 1955 when Mother Agatha, the original President, was no longer available to continue her role, there was a change in administration. Registration, publicity, university relations, and development emerged as separate functions of the institution and, as Sister Florence put it: "The branching of responsibilities was more widespread in 1955." In addition to Mother Agatha's leaving the presidency and Mother Mary Katherine's death, which necessitated changes in funding sources, another catalyst for change was shifts in the external world. As Sister Florence describes it: "After World War II, as we looked toward the fact that it [Xavier] was established and growing, there was a question of where and how to maintain it.

A second period of major and rapid structural change was experienced in the late 1960's. Having developed the first formal administrative structure and new relationships with external funding agencies, the institution had a capacity to handle more growth. Although enrollments declined in the early sixties (see Table III-B), the late sixties was a period of rapid growth. As one document puts it:

> But however different Xavier was from the rest of the South's black colleges, it also had many characteristics in common with them, and at the beginning of the 1960's it was, like most of the rest of them, in need of revitalization. It was an isolated island in a sea of segregation and racial discrimination. It was small--about 800 students--and at least relatively poor. Its administration tended to be maternalistic and autocratic. It had been forced for financial reasons to give up intercollegiate athletics, and one result of that change was a drop in male enrollment and a subsequent dip in student morale.
>
> The awakening brought about by the civil rights movement and other social concerns affected Xavier, and the Sisters of the Blessed Sacrament sought to respond. Particularly since 1965 the pace of change has been rapid. In that period, Xavier's enrollment has nearly doubled, to more than 1,400 students. The faculty has also doubled, and the ratio of nuns to lay professors has widened from 1:3 to 1:4. The top dozen administrators included about twice as many nuns as laymen in 1965; now the reverse is true. And the university's Board of Trustees, all of whom were nuns then, now is made up of six members of the religious order and three men--and by next year, a new board of up to 27 members will include as many as 18 persons who do not belong to the SBS. (Description of Planning Process)

The administrative changes of the late sixties were probably the most significant in the history of the institution. In 1968 Norman Francis became the fourth president of Xavier. He was "the first layman, the first black, and the first alumnus to hold this position; he quickly became a symbol and instrument for change" (Original AIDP Proposal, p. 9). Soon after taking office he also commissioned a governance study that has resulted in both a new administrative

Table III-B. TOTAL UNIVERSITY ENROLLMENT TRENDS - MEN/WOMEN

Year	Men #	Men %	Women #	Women %	Total	GENERAL ENROLLMENT Increase over previous year	or	Decrease over previous year
1952-1953	467	45	573	55	1040			
1953-1954	503	48	548	52	1051	1.1%		
1954-1955	532	48	581	52	1113	5.9%		
1955-1956	576	48	618	52	1194	7.3%		
1956-1957	487	46	575	54	1062			-11.1%
1957-1958	447	44	567	56	1014			-4.5%
1958-1959	455	42	618	58	1073	5.8%		
1959-1960	417	43	565	57	982			-8.5%
1960-1961	331	40	494	60	825			-16.0%
1961-1962	288	36	521	64	809			-1.9%
1962-1963	285	34	515	66	800			-1.1%
1963-1964	268	34	511	66	779			-2.6%
1964-1965	310	37	521	63	831	6.7%		
1965-1966	336	37	572	63	908	9.3%		
1966-1967	485	40	717	60	1202	32.4%		
1967-1968	545	41	790	59	1335	11.1%		
1968-1969	541	40	821	60	1362	2.0%		
1969-1970	558	38	923	62	1481	8.7%		
1970-1971	561	39	861	61	1422			-4.0%

Table III-B. (cont'd.)

GENERAL ENROLLMENT

Year	Men #	Men %	Women #	Women %	Total	Increase over previous year	or	Decrease over previous year
1971-1972	647	42	910	58	1557	9.5%		
1972-1973	647	42	901	58	1548			-0.6%
1973-1974	763	42	1045	58	1808	16.8%		
1974-1975	819	43	1072	57	1891	4.6%		
1975-1976	747	41	1053	59	1800			-4.8%
1976-1977	779	41	1110	59	1889	4.9%		
		41% average		59% average				
		range = 34-48		range = 52-66				

Comment: Over a twenty-five year period the ratio of men to women averaged 41% men to 59% women (highest ratio of men = 48% in 1953, 1954, 1955; lowest ratio of men = 34% in 1962 and 1963).

Source: Xavier University Planning Office, June 3, 1977

structure and management system.

In spite of the growth, the transition to a more complex structure run by lay people was not easy. There were more administrators who were, for the first time, drawing salaries. Prior to 1968, the school had always managed to show a surplus. For the next three years the college operated at a loss. Enrollments were sporadic in the early 1970s, as Table III-B shows. The enrollment fluctuation coupled with the financial difficulties led to shifts in the newly developing planning process, and to an increased emphasis on sound fiscal management. This general situation led Hodgkinson and Schenkel to make the following observation in their 1974 study of Title III: "Xavier is an instance of a college that would sink if not supported by Title III funds. The desired independence and entrepreneurial spirit has not developed to the fullest at the college" (1974, pp. 348-349).

In 1974 Xavier received an AIDP grant for $2 million. By that time the spirit of the college had been revitalized. Prior to the grant the college initiated a long-range planning process and refined its future plans. The AIDP funds have been used by the college to help it make some important transitions in its administration and management as well as in the curriculum.

Administrative Structure

In 1969 a fifteen-member commission on governance was created by the Board of Trustees. In its final report the commission communicated a philosophy of participative management:

> The board's major function is to make and authenticate policy decisions while assuring that adequate resources are available to carry out these decisions. Sound decisions cannot be made without contributions of perspective from various groups within the University's broad constituency because one of the institution's basic principles of management philosophy is that those who are served and those who render the services should share in determining what services are rendered and how they are rendered.
>
> Management cannot be exclusively performed by administrators. It is a process requiring participation of students, faculty, alumni, parents and friends. It is the intent and hope of the Commission that the Governance model recommended in this document will provide for such participation. (Forward, Final Report, 1970)

The Final Report also proposed a new administrative structure and a new structure for the governance process. It also incorporated Xavier as an institution with a predominantly lay board. The original AIDP proposal described the transition as follows:

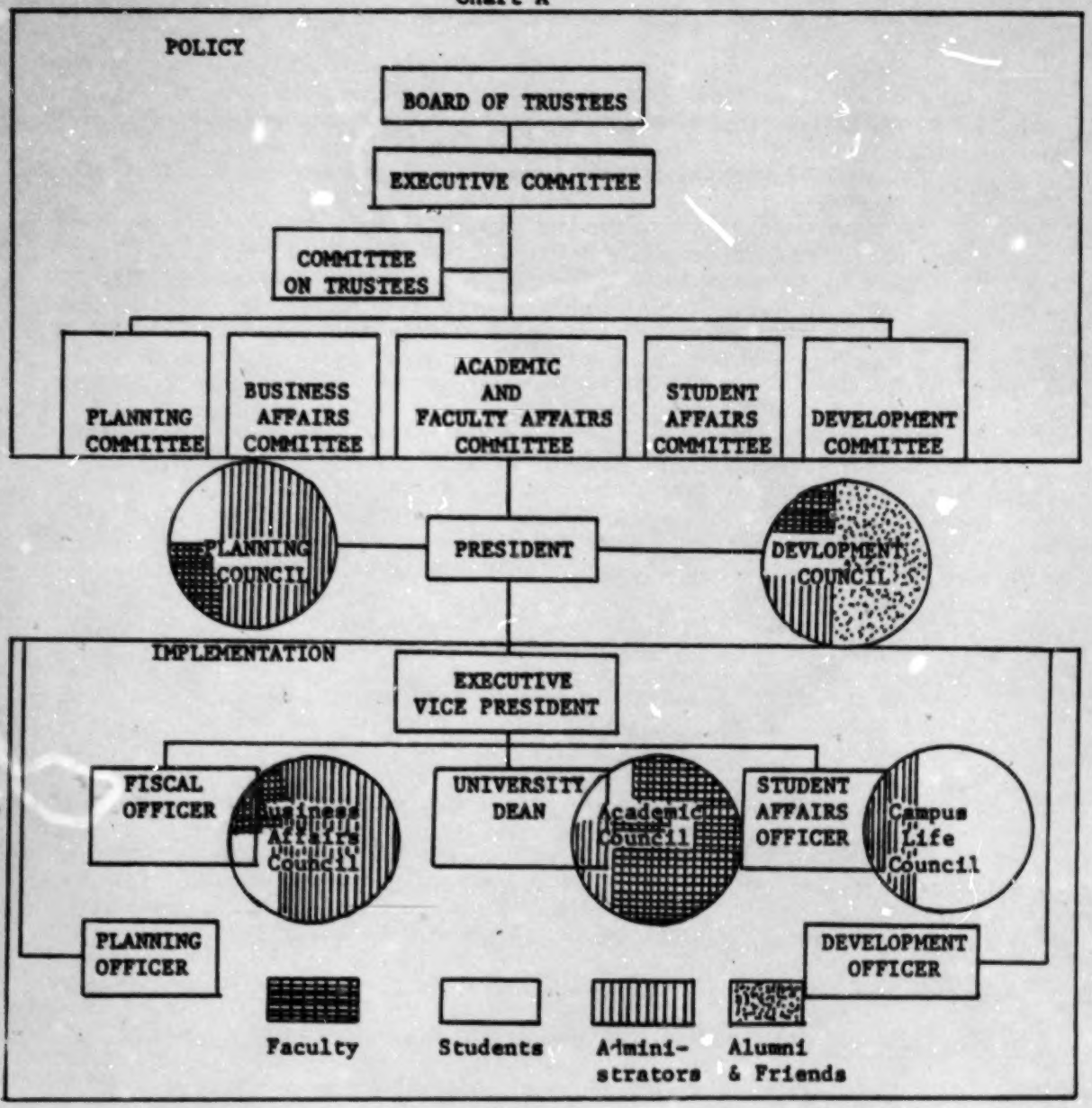
> The trustees adopted the Commission's recommendations. They are currently being implemented, changing the composition of the governing body from a nine-member board consisting of six religious, one bishop, and two laymen, to a twenty-seven-member board in which two-thirds of the seats are occupied by laymen. The old board operated as a subsidiary of the religious order. The new board is completely independent, has full ownership of, total control over and ultimate responsibility for the university. (pp. 9-10)

In addition, the recommendations set up a new committee structure that paralleled the functions of the institution and three councils--on Business Affairs, Academic Affairs, and Student Life--to ensure a more participative management system (see Figure III-A). According to the final plan, "one of the chief functions of the Councils is to advise administrative officers who are in effect co-presidents for specific areas of management." Regarding the Councils, the commission's final report observed:

Figure III-A

ADMINISTRATIVE STRUCTURE/XAVIER UNIVERSITY OF LOUISIANA

Chart A



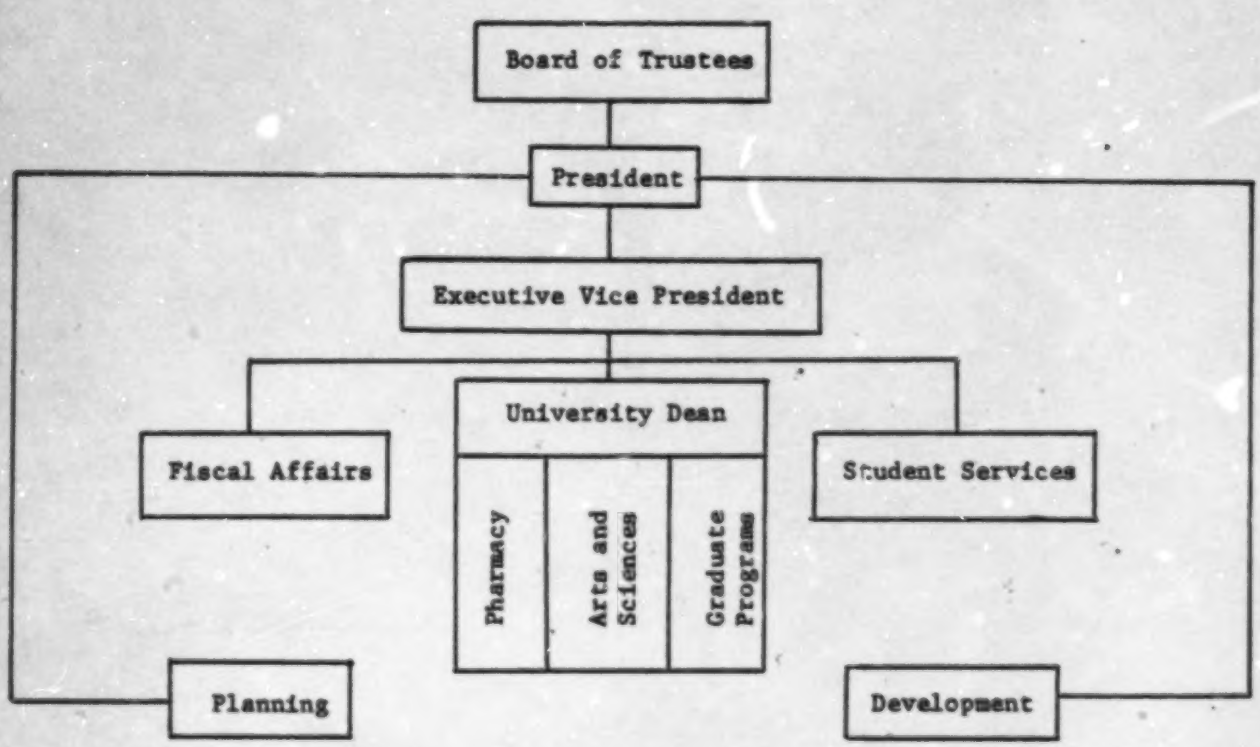
> Xavier already has experimented to an extent with councils in making internal decisions. The university has three existing Councils whose degree of acceptance varies among members of the campus population. Whatever their acceptance, however, it is apparent that the Councils are generally thought of as part of the administration and it is conceded that they do indeed have some decision making powers.
>
> The Counsils are the Academic Council, the Administrative Council and the newly established (last academic year) Planning Council. Membership of each one is comprised of students, faculty and administrators. (Commission on Governance, 1970)

The formal organizational structure implemented after the new plan (Fig. III-E) went into effect closely paralleled the one proposed by the commission on governance. Xavier University operates as a system with a President and Executive Vice President as the key administrative officers. The new organizational structure separates operations from planning and development. The planning and development offices report directly to the President, while the operational units of the college --fiscal affairs, academic affairs and student services--report to the Executive Vice President. The Executive Vice President is responsible for the day-to-day management of the institution. The Planning Coordinator is also the AIDP Coordinator for the institution.

The academic structure is more complex than many liberal-arts colleges of similar size because of the three-college structure. The largest of the three, the College of Arts and Sciences, has a dean, twenty-two departments and thirty-nine majors (Xavier University Catalogue, 1976-78). The academic department is the strong unit in the College of Arts and Sciences. The College of Pharmacy has a dean and one major, pharmacy. Although the pharmacy school is almost

Figure III-B

ADMINISTRATIVE ORGANIZATION/XAVIER UNIVERSITY



Source: AIDP Original Plan, p. 12

as old as arts and sciences, it has not been as large and as a result has at times been looked upon as the equivalent of an A&S department. In recent years, however, the College of Pharmacy has grown, from 156 in 1970 to 227 in 1976, and now has a new, separate building which adds to the autonomy of the school. Of the three schools, the graduate school is the smallest with a dean, three full-time faculty, a few part-time faculty who teach in the undergraduate programs, and a few part-time faculty who have jobs off campus.

In addition to the formal organization structure, there are several informal avenues for individuals and groups to be involved in institutional decision making. The three councils provide an opportunity for student, faculty, and staff involvement in some key areas. In addition, there is a faculty association, university assembly, and student association.

Management System

Xavier University's administration has addressed itself to a complex set of management needs. When the present administration took over, the university faced an uncertain future. Financially, the college was in trouble because of changes in external funding sources and the salary demands of the new administration. Acaddemically, the college was in need of an overhaul. And although enrollments were increasing, the prospect of future growth was uncertain as was their ability to finance a larger enterprise. The new administration began to emphasize the development of an effective management system soon after taking office. Before the start

of the AIDP grant, the college was on the road to solving some of its management problems. During the past two years, the AIDP grant has aided Xavier in its movement toward a better management system.

Anthony M. Rachal (1973), Executive Vice President at Xavier, gave a keynote address on the implementation of the Xavier long-range planning process at Hampton Institute. The "story begins at Xavier in 1968--at the height of student unrest and at the crest of the financial crisis in higher education" (p. 13)--conditions that were severe at Xavier. As Rachal puts it:

> . . .To better understand our institution, you should know that in addition to being urban and serving a predominantly Black population at the time that I am talking about, 1968-'69 our faculty was predominantly white and, at the time the present administration came into office, the top administrative staff had been composed of the members of a predominantly white religious order of women. That was 1968. You will recall that this was the era of revolution--youth and Black--and it was the era of militancy- Black and faculty--but even more important, we had the non-militant, but sincere and mature demands of college Blacks, many first generation college, who saw a college education as a means of helping their less fortunate brothers, with less concern than their predecessors about achieving traditional middle-class income and status. Sincere demands for change and relevance were abundant. Change should not be resisted without cause. Self-renewal, as John Gardner advocates, is crucial to viability. But change must not be in isolation to the mission; change must be calculated, however necessary it may seem to be. Planning then for us, at the time, became part of the total approach to survival, because survival with traditional programs had become a questionable goal. (pp. 4-5)

The planning effort at Xavier began in earnest in 1970. The planning coordinator started in January of that year. The NACUBO planning model, implemented at Xavier, had to be adapted. The results of the first plan were a bit frightening:

> I should mention to you that in that first round of our planning cycle, the projection showed 100% increase in the budget would be necessary to take care of the aspirations of what the departments felt they wanted to do. One hundred per cent increase in the five (5) year period, although we had based it on no more than an average 5% increase in faculty salaries. This was shocking, and of course frightening, when we were already facing an accumulating deficit. But the process of the planning cycle made the review of current programs and courses and the proposed new ones for relevance to institutional objectives less mystic, both to faculty and department chairmen. It also soothed the anxieties over proposed programs and courses on the part of administrators, because after discussions and recommendations many of our anxieties were allayed because of the cooperation and communication which had begun to take place. (Rachal, 1973, p. 8)

One problem with the original plan had been that each department was originally concerned about its own needs. As Rachal put it: "Many of us in small campuses are not sufficiently aware of our own resources, and we may not be aware of the needs of other departments. Sometimes there are common needs" (p. 17). After the initial planning efforts, members of the campus community realized the need for a much tougher look at institutional and department objectives. The second time the process worked better. The enrollment objective for the second five-year plan--"Maintain the annual university enrollment between 1100 and 1400 full-time equivalent students" (Office of Long-Range Planning, p. II-5)--was surpassed during this period, 1973-1977.

Xavier has not entered a new five-year planning cycle during the first two years of the AIDP grant. Much of the staff time in the Planning Office has been spent with the administration and implementation of the AIDP activities. The Planning Coordinator also serves as AIDP Coordinator. However, the Office has been working on improving the types of information available to decision makers and has been

ing a consultant, John Goode, on the improvement of the institutional planning capacity. One of the areas they have been working on is the capacity to develop quantifiable objectives--an approach they hope to implement into the departmental structure through the curriculum study, an AIDP activity. A new five-year planning process is now underway at Xavier--one that ties objectives to budgets. Descriptions of the groups involved in the process are as follows:

The Planning Team

> The Planning Team is made up of administrative officers, and faculty and student representatives. It is chaired by the university president, or, in his absence, the executive vice president or a designee. The Planning Team's purpose is to review appropriate materials and make recommendations to the president on the institution's goals and objectives, policies, and program plans. Specifically, the Planning Team recommends acceptable performance levels for meeting university goals, and suggests ways of evaluating progress. The team recommends program priorities in light of limited resources, provides leadership in communicating ideas throughout the university, and generally offers counsel in charting the course of future university action. With rare exception, any issue or plan that will commit the university to new or greater expenses, or which will affect its relationship with other bodies, is within the purview of Planning Team analysis.

The Planning Office Staff

> Planning provides a staff service for the office of the university president. It coordinates the university's planning effort. In so doing, the staff acts as consultants in planning activities, develops statistical studies, and fills ad hoc requests for information.

The Analytical Studies Group

> The Analytical Studies Group analyzes the program plans of all academic and support services departments, proposes modifications of departmental programs, and prepares program summaries incorporating these recommendations. The program summaries are sent to the Planning Team for discussion and recommendations. (Planning Office, 1977)

Another management development at Xavier has been an increasing formatization of the management system. In an interview, John Goode, the main consultant for this area, has described this transition as a "shift from an ad hoc management structure to a more formal management structure." Rachal, the senior administrator most concerned about operations and management, described institutional needs to "determine fiscal responsibility," to "identify and codify" these responsibilities, and "to come up with a manual." The policies and procedures manual would be a "document saying what you needed to do when." This manual is now being developed at Xavier. The system is so big that it is no longer possible to pass on this knowledge about what needs to be done in informal ways.

The development of formal policies and procedures has become a major concern in the administration. Bhagwan Gupta, Director of Fiscal Services for the past two years, describes the primary management concern for his office as the need to develop policies and procedures. Regarding the sophistication of the fiscal operations, he observed: "Frankly, it's at an initial stage--before I came aboard the university had employed Haskins and Sells to do a management study." Haskins and Sells, an international private accounting firm, assisted the college in its initial efforts to improve its fiscal management. According to Gupta, part of the problem had been that "many of the grant funds had not been properly classified." The fiscal problems at the college had been severe between 1970 and 1975. During the last two years, however, the college has not shown a loss

and reduced the deficit by $42,000 last year. The statement of fund revenues and expenditures for 1975-76, Table III-C, shows the profits for the year.

Academic management is a third area that is becoming an important concern at Xavier. The curriculum development component of the AIDP project is an attempt to integrate goal-setting techniques into the academic structures. A description of this activity in Arts and Sciences is as follows:

> A critical project is being assisted by AIDP funding. Under the direction of Sister Miriam Francis Quinn, the college of Arts and Sciences is engaged in a curriculum study which will result in the following: (1) a clear statement of goals and objectives by each department; (2) a plan for assessing each department's achievement in meeting its objectives; (3) the selection of alternative routes for teaching and learning--which may entail initiating, rearranging, or dropping programs, courses, and other activities; (4) a plan from each department for stimulating and enhancing students' entrance into graduate schools; (5) the listing of careers open to each department's majors; (6) a cost analysis of each academic program; and (7) a final ranking of programs, courses, and activities according to the degree that each fulfills the university's objectives.
>
> This is of course a remarkable undertaking. It involves representatives from each academic area being trained in the writing and assessing of objectives. Because such processes are unfamiliar to many faculty and because discussion of new teaching methods and alternative modes of educating is important for any curriculum study, consultants and workshops have also been provided in this activity. (Rice, 1977, p. 11)

The process of change in the management of the academic system is slow at Xavier. In an interview, Sister Veronica, the University Dean, acknowledged "there was some objection to the curriculum development study when it started." However, as she put it, "it gradually toned down." The movement toward a system of goal setting within programs appears to be a permanent feature at Xavier.

Table III-C

Xavier University of Louisiana
Statement of Current Fund Revenues, Expenditures, and Other Changes
For The Eleven Months Ended June 30, 1976

	Unrestricted	Restricted	Total
Revenues:			
Educational and general			
Student tuition and fees	$2,894,605		$2,894,605
Gifts and Grants	1,151,911	$4,066,433	5,218,344
Research grant overhead	117,121		117,121
Income from endowment invest.	95,813		95,813
Governmental appropriations	442,747		442,747
Other	46,801		46,801
Total educational and general	$4,748,998	$4,066,433	$8,815,843
Auxiliary enterprises	708,391		708,391
Total Revenues	$5,457,389	$4,066,433	$9,523,822
Expenditures and Mandatory Transfers			
Educational and general:			
Instruction	$1,985,670	$ 966,008	$2,951,678
Public service	3,160	38,877	42,037
Academic support	227,932	254,595	482,527
Student services	402,054	168,889	570,943
Institutional support	804,046	194,689	998,735
Operation and maintenance of plant	462,927	12,000	474,927
Scholarships and fellowships	459,335	2,431,375	2,890,710
Educational/genl expenditures	$4,345,124	$4,066,433	$8,411,557
Mandatory inter-fund transfers:			
Debt principal and interest	27,111		27,111
Loan fund matching grant	34,828		34,828
Total educational and general	4,407,063	4,066,433	8,473,496
Auxiliary enterprises	666,463		666,463
Total expenditures and mandatory transfers	$5,073,526	$4,066,433	$9,139,959
Excess of Revenues over Expenditures and Mandatory Transfers	383,863		383,863
Other Inter-fund Transfers			
Excess of restricted receipts over transfers to revenues		204,817	204,817
Transfer to unrestricted fund functioning as endowments-net	(7,612)		(7,612)
Net Increase in Fund Balances	$ 376,251	$ 204,817	$ 581,068

Source: Haskins and Sells, 1976

Regarding the management emphasis, Sister Veronica observed: "People that like it at Xavier must become accustomed to thinking in those terms."

The emphasis on increasing the effectiveness of the management system can be seen at all levels of the Xavier administration. The administration of the AIDP project typifies this commitment. Attempting to make the AIDP grant go as far as it can, the AIDP project has changed the emphasis of some activities midstream, and at times has stopped an activity early if it is not contributing to the overall thrust of the institution. Xavier has recently submitted a proposal to use some of the existing AIDP funds for development--funds saved from other activities. Again, the management emphasis is clearly important even in this effort. As Clarence Jupiter, Director of Development, put it in an interview: "The most important thing is for Xavier to manage itself well. Otherwise, the people that are rich aren't going to give us much money."

Management Effectiveness

During the past few years Xavier University has improved the effectiveness of its management system. A description of this progress according to the five indicators of management effectiveness used in this study follows.

Attention Paid to Management Needs. During the past decade Xavier has attempted to undertake necessary developments in the formal structure of the campus and in its management. When Norman Francis first became president of Xavier, he made governance reform his first priority. The Commission on Governance changed the

structure of the Board of Trustees through increasing the lay membership and changed the internal governance process through the establishment of the council system. In the subsequent years, the top administration, in particular Francis and Rachal, began to diagnose campus management needs and establish systems for meeting those needs. At first the development of a long-range planning capacity was the issue. Now the development of a more formalized and delegated management system has become their primary concern. Throughout this period the institution has experienced financial difficulties. The stress on improving the management system has been oriented toward improving this situation, and in the past few years it has been partially successful in reducing its severity. In sum, Xavier's administration has paid considerable attention to the types of management practices that will insure the health and survival of the institution.

Implementation of Viable Management System. Xavier has made progress in the implementation of a viable management system during the past eight years, although the task is not yet complete. This effort began in 1969 when the college began to develop its long-range planning capacity. Implementation of a viable planning process has not been easy and is still underway at Xavier. Most recent efforts to implement new management practices have been in the areas of planning and management procedures for the administrative units and goal-setting processes within the academic structure. These efforts are now underway. In both instances, there appears to be a need for the new system and a commitment to it.

Effective Resource Use and Planning. Xavier's history with respect to the effectiveness of its resource use and planning has been spotty. One might suspect that the voluntary commitment of the Sisters' time, the low faculty salaries, and the support of the college by religious and Black higher-education organizations would combine to create a cost-effective organization. Unfortunately, this was not the case at Xavier. In the past, the college has not necessarily made good use of some of its advantages. Its expenditures per FTE are not lower than other private four-year institutions funded by AIDP. Initially the planning process seemed to worsen the situation by dramatizing the gap between the institution's aspirations and its available resources. Later the planning team made the necessary adjustments to the financial constraints the institution faced by working directly with the departments and colleges. In the past two years the university has made considerable progress in the area of fiscal management. It did not operate at a loss during either year.

One of the ways this has been accomplished has been to bring in people who are good managers. The best example is Bhagwan Gupta, the Director of Fiscal Services. During his two years as Director, his staff has had a 70% turnover--if people don't do what is expected of them, then they have to leave. Gupta is also well thought of by the rest of the administration. It is their feeling that he has gotten fiscal services in order and that management skills like his (he has both an M.B.A. and doctorate in higher education management) are important to the institution. This attitude that management is important is evident throughout the administration.

A second factor that has helped Xavier improve its financial situation has been the AIDP grant. Several of the components are geared toward the improvement of the management system. In addition, the approximate $400,000 annually provided by the grant are a direct help to the institution. Replacement of these funds when the grant period ends is an important issue: will the college revert to its prior condition when the funding period has ended? Replacement strategies have been considered. Some of the programs are one-time efforts and will not need future support. For others, particularly those in the academic area where important staff people are funded, replacement of funds is critical. One avenue that remains a possibility is AIDP, which has not excluded the possibility of continued funding for Advanced institutions. A more effective long-range solution might be the improvement of the Development Office. Currently the college is proposing to use some of its AIDP funds for this purpose.

In summary, effective resource use and planning is a critical issue at Xavier. Significant improvements have been made during the past decade, and especially in the past two years. AIDP has been an important part of this transition. A transition that will, hopefully, have some permanence.

Quality and Effectiveness of Constituent Involvement. Xavier has made significant efforts to involve diverse constituent groups in decision making on campus. The implementation of the council structure has formally included faculty, students, and staff in the key decision areas. My impression is that this system is working and

that the councils address the main issues facing the institution. There are several other avenues for people to be involved in the decision structure, including involvement in the planning process. Another important factor in this area is the effort to develop an academic management system by introducing management by objective techniques at the department level. The administrators interviewed agreed that these changes in the governance structure and process have been important. They also appear to take faculty and student input and attitudes very seriously. Unfortunately, due to the time of year of my visit, I was unable to speak with either faculty or students about their attitudes toward the governance process.

Renewal Capacity. The past ten years at Xavier have been a story of institutional self renewal. It has made several transitions: from religious to lay leadership; from a loosely structured institution to a more formally structured one; from an institution without a management system to one that is implementing a more viable one; from being in severe financial difficulty to being on the road toward sound fiscal practices; and from an isolated campus within a city to a campus involved with its surrounding community. In some ways the institution has not changed: even though there have been curricular changes, the academic process at the institution has continued its traditional approach to liberal-arts education. There has been an important transition in the spirit of the institution however. There has been much internal conflict and unrest at Xavier in the past. Norman Francis has been an important person in this transition, inspiring the diverse groups of people that comprise Xavier to pull together for the good

of the institution. Xavier is now an institution with a bright future instead of a school threatened by some of the most basic questions of survival.

Conclusions

Xavier University is an institution with a colorful past. Founded as an institution to educate Blacks and other minorities in the segregated South, Xavier has maintained its mission in a markedly different world. Today, the South is not segregated in its higher-education system. To survive, a Black institution has to confront many hard realities and at the same time carve out its own unique role.

Xavier has accomplished this goal by making some difficult transitions. It can serve as a model for other Black institutions faced with the same questions. This case study has not focused on this transition per se. Instead, its emphasis is on the structure and management of the college. At Xavier, however, the transition in its role has been accompanied by changes in structure and management. For the purposes of this study, Xavier is a good example of an institution that has attempted to make a transition in its formal structure and to develop a management system that is compatible with it.

The struggle to survive has been closely associated with the struggle to improve management at Xavier. When the current administration took over nine years ago, its first emphasis was placed on governance and management. This emphasis has remained. As a result, Xavier has developed the capacity to manage its own affairs.

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During a June 23-24, 1977 visit to Xavier University, I interviewed the following people:

Anthony Rachal, Jr., Executive Vice President
Clarence Jupiter, Director, Development Services
Joseph C. Rice, Coordinator AIDP, Coordinator of Planning
Sister Mary Veronica Drawe, University Dean
Bhagwan S. Gupta, Director, Fiscal Services
Sister Florence Kuhn, SBS
John Goode, Private Consultant, John Goode Associates
Bill Katzenmeyer, Private Consultant, Associate Dean, Graduate School, Duke University

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